

**EXHIBIT A**

EXHIBIT A

Information Current Through:12/31/2001  
Database Last Updated:01/19/2002  
Updated Frequency:Monthly  
Current Date:01/22/2002  
Source:Social Security Administration Death Index

Name:JAMES E RAU

SSN:558-48-0694

State Where SSN Issued:CALIFORNIA

Date of Birth:08/03/1938

Date of Death:03/14/1998

Age at Death:59

Verification of Death:(P) Proof of Death Certificate  
Observed

END OF DOCUMENT

Express Mail Label No. EK934964652US Deposited January 22, 2002

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
(Case No. A11-26110US)

jc997 U.S. PTO  
10/054374  
01/22/02

In re Application of: )  
 )  
Sullivan et al. )  
 ) Group Art Unit: TBA  
Serial No.: TBA )  
 ) Examiner: TBA  
Filed: January 22, 2002 )  
 )  
For: HIGH DENSITY 3-D INTEGRATED )  
CIRCUIT PACKAGE )

Commissioner for Patents  
Washington, D.C. 20231

PETITION UNDER 37 C.F.R. § 1.47(a)

Sir:

Because one of the inventors (James E. Rau) for the present application is deceased, and because attempts to secure the signature of the executor of the deceased's estate were not successful after diligent effort, Applicant submits this Petition Under 37 C.F.R. § 1.47(a) to make application on behalf of the deceased inventor.

As proof of diligence, Applicants submit the accompanying Declaration of Dennis C. Bremer, including its Exhibit A setting forth attempts to obtain the signature of the executor of the deceased's estate. Several attempts were made to contact the deceased's son, Chris Rau.

Chris Rau's last known address is 3233 East Miraloma Avenue, Anaheim, California 92806. James E. Rau's last known address is unknown, but is believed to be in California. A record from the Social Security Administration Death Index is attached for a James E. Rau having a social security number issued in California. While Applicants have been unable to confirm that this is the same "James E. Rau" as the named inventor in this case, the date of death falls within a time frame believed to be accurate.

The required petition fee of \$130.00 under 37 C.F.R. § 1.17(h) is enclosed herewith.

01/29/2002 RMEBRAHT 00000065 10054374

03 FC:122

130.00 DP

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Respectfully submitted,

Honeywell International Inc.

*January 22, 2002*

By

*Marcus J. Thymian*

Marcus J. Thymian

Reg. No. 43,954

McDonnell Boehnen Hulbert & Berghoff

300 South Wacker Drive, 32<sup>nd</sup> floor

Chicago, IL 60606

Telephone: (312) 913-0001

Facsimile: (312) 913-0002

Enclosures:

- (1) Declaration of Dennis C. Bremer, and accompanying Exhibit A
- (2) Social Security Administration Death Index record

Honeywell

Aerospace Electronic Systems  
Honeywell  
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2600 Ridgway Parkway  
Minneapolis, MN 55413  
612 951-1000

JCS97 U.S. PTO

10/054374



01/22/02

August 22, 2001

3233 Miraloma Ave.  
Anaheim, CA 92806  
ATTN: J. E. Rau Estate

Dear Sir/Madam:

I am with the Honeywell Legal Department in Minneapolis, MN. We have recently prepared a patent application for filing with the United States Patent Office.

Mr. James E. Rau is a co-inventor for this patent application. In order to file the patent application with the Patent Office it requires the signature of all inventors involved.

It is my understanding that Mr. Rau has sadly passed away. I am trying to locate the executor of his estate. This person would be able to sign the papers on behalf of Mr. Rau.

Please let me know if you can be of assistance in this matter.

Sincerely,

*Karen Houle*

Karen Houle  
Legal Secretary to  
Kris T. Fredrick, Attorney

Aerospace Electronic Systems  
Honeywell  
Sensor and Guidance Products  
2600 Ridgway Parkway  
Minneapolis, MN 55413  
612 951-1000

September 13, 2001

Chris Rau  
3233 East Miraloma Avenue  
Anaheim, CA 92806

Dear Mr Rau:

Thank you for taking the time to speak with me today regarding the assignment issues in Honeywell's Patent Application A11-26110 titled "High Density 3-D Integrated Circuit Package." I want to reiterate our condolences on the death of James Rau.

As I mentioned on the phone, the patent application is ready for filing, and I am attempting to obtain all necessary paperwork to complete the filing process. Attached to this letter are our standard assignment and declaration/power of attorney documents which need to be signed by the executor or administrator of the estate.

To explain further, 37 C.F.R. 1.42 states that in the case of the death of an inventor, the legal representative (executor, administrator, etc.) of the deceased inventor, or one who believes they will be appointed legal representative, may make the necessary oath and declaration. Proof of the authority as legal representative may be filed up until the time the patent is allowed to issue (about two years from now). The paperwork may also be signed by the heirs if there was no will or no executor was appointed.

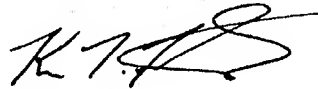
Proof of the authority can come from a certificate of the clerk of a competent court or the register of wills that his or her appointment is still in full force and effect. Alternatively, in the case of assignment by the heirs, a certificate from the court that they are all the heirs can be submitted provided it states that the estate was under the sum required by state law for the appointment of an administrator. The certificate must be signed by an officer and authenticated by the seal of the court where it was issued.

This application is currently owned by Honeywell International Inc. pursuant to an agreement between Honeywell and Boeing dated April 13, 1999. The filing of the attached paperwork in this application provides evidence to the U.S. Patent and Trademark Office of this ownership.

In accordance with Honeywell's current patent award policy, I am authorized to distribute a \$1500 award (before taxes) to Mr. Rau's estate upon completion of all necessary paperwork. This award will be processed as soon as these required documents are completed and the application is filed.

If you should have any questions concerning this issue, please do not hesitate to call. Once again, I sympathize with your loss, and I appreciate your time on this matter.

Sincerely,

A handwritten signature in black ink, appearing to read "K. T. Fredrick", with a stylized flourish at the end.

Kris T. Fredrick, Attorney

**Honeywell**

Dennis C. Bremer  
Attorney  
Intellectual Property

Aerospace Electronic Systems  
Honeywell  
2600 Ridgway Parkway  
Minneapolis, MN 55413  
612 951-6145  
612-951-6192 Fax  
Dennis.Bremer@Honeywell.com

JC997 U.S. PTO  
10/054374  
01/22/02

November 16, 2001

Chris Rau  
3233 East Miraloma Avenue  
Anaheim California 92806

**Re: Honeywell Invention Disclosure No. A11-26110**

Dear Chris:

Since our last teleconference, the other inventors have signed our standard assignment and declaration/power of attorney documents. A copy of those signed documents is enclosed.

At your earliest convenience, please have Mr. Rau's legal representative (executor, administrator, etc.) sign the documents where indicated.

If you have any questions, please feel free to call me.

Sincerely,



Dennis C. Bremer

Enclosures



**Westlaw Attached Printing Summary Report**  
**for**  
**THYMIAN,MARCUS 1616679 Tuesday, January 22, 2002 11:00:55 Central**

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Request Created Date/Time:	Tuesday, January 22, 2002 11:00:00 Central
Client Identifier:	522-00027-MJT
DataBase:	DEATH
Citation Text:	558-48-0694
Query Text:	LAST-NAME(RAU) & FIRST-NAME(JAMES)
Print Command:	Current document, Complete result
Lines:	17
Lines Charged:	17
Documents:	1
Documents Charged:	0
Images:	0
Images Charged:	0